

# Resilience as a guiding principle for implementing practices and policies for climate variability and climate change in Africa



Global Science Conference on Climate-Smart Agriculture,  
20-22 March 2013, University of California, Davis; 20.3.2012

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# Outline

1. Introduction
2. Resilience principle for addressing climatic risks
3. Applying resilience to farmer practices
4. Applying resilience to policy objectives and practice
5. Conclusions and Outlook



# Introduction

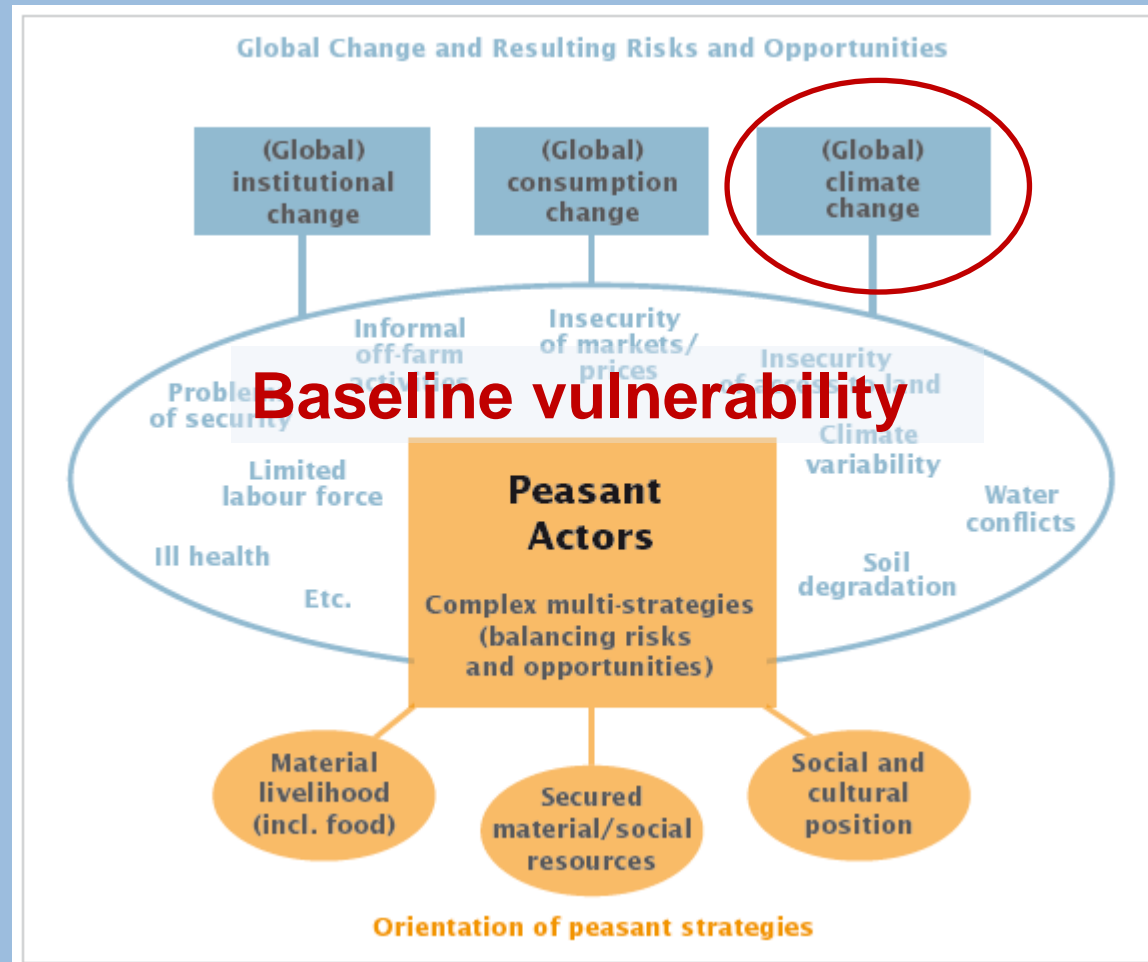
## Agricultural Production Context in Africa

- > Widespread dependency on rainfed agriculture
  - > Large population dependent on agriculture
  - > Increasing land degradation (Koninga and Smaling 2005)
  - > Agricultural production deficit (IAASTD 2008)
  - > High vulnerability and low adaptive capacity
- ➔ **Agriculture highly sensitive to climatic risks**



# Introduction:

## Climate change is one of many drivers

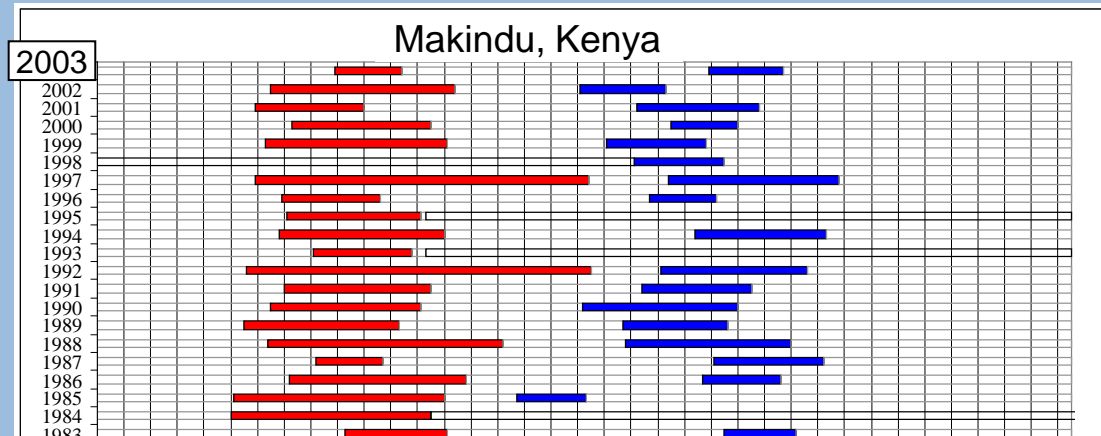


Wiesmann et al. 2011



# Introduction

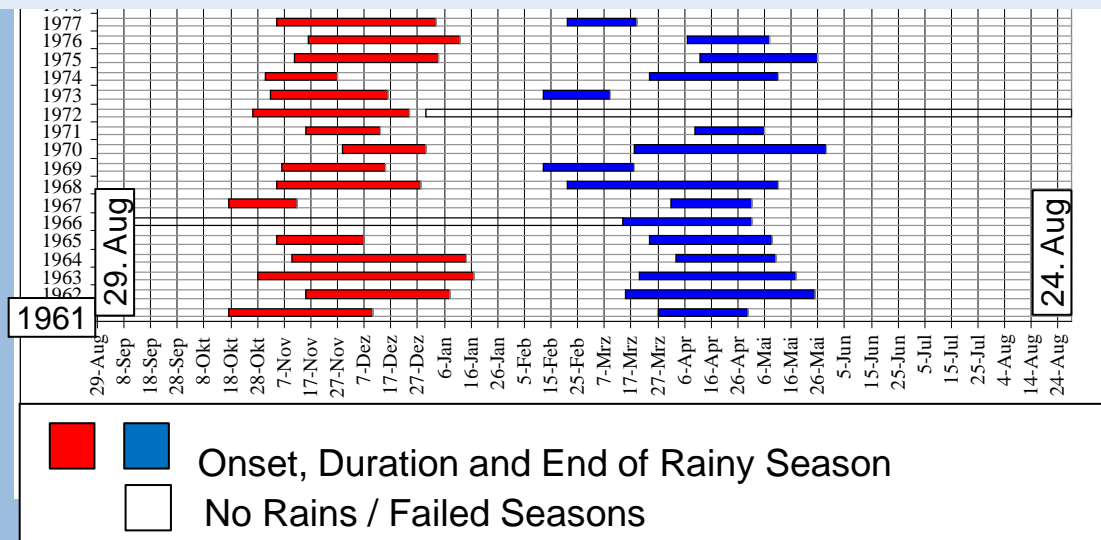
## High Rainfall Variability in many Areas



1<sup>st</sup> Rains

2<sup>nd</sup> Rains

Climate change → additional spectrum of different climatic risks



Source: Rainfall data  
Makindu 1961-2003,  
Ifejika Speranza 2006

# Implications of Spectrum of Different Climatic Risks for African Agriculture

How to accommodate climatic disturbances and their impacts, use opportunities, and continue functioning despite multiple pressures?

**Using resilience as a guiding principle helps us to address these challenges**

# Resilience

- > the capacity to tolerate disturbance, undergo change, and retain the same essential functions, structure, identity and feedbacks (Carpenter et al., 2001; Holling, 1973, 2001; Walker et al., 2002, 2004)



# Benefits of resilience as a guiding principle

## Resilience directs focus on

- > factors that enable functioning despite adverse conditions; dealing successfully with change (Carpenter et al. 2001; Obrist et al 2010; Cumming 2011)

## It provides

- > a useful **framework** for understanding the dynamic relationships between humans and the environment (social-ecological systems, SESs) (Cabell and Oelofse 2012)
- > **models** for increasing society's capacity to manage change (Cabell and Oelofse 2012)
- > **a key** to progressing towards sustainability of SES (Walker and Salt 2006, Turner 2010)
- > and is **critical** for achieving climate-smart agriculture



# Desirable and Undesirable Resilience



Aim to maintain or achieve desirable system states

# Social and Ecological Resilience – Links

- > **Note:** Different perspectives to resilience; in this presentation - an integrative Human Geography and Ecology perspective
- > **Social resilience** - the ability of groups or communities to cope with external stresses and disturbances from social, political and environmental change<sup>1</sup>
- > Link to ecological resilience - e.g. groups or communities that are dependent on natural resources for their livelihoods<sup>1</sup>
- > Sometimes resilient ecosystems enable resilient communities or vice versa<sup>1</sup>; other times ↓↑

<sup>1</sup> Adger 2000

# Measuring Resilience

- > **Generally 3 ways** (Carpenter et al. 2001, Holling 2001, Gunderson and Holling 2002, Folke 2006, and Folke et al. 2010)
- > Amount of change a system can undergo and still maintain the same controls on structure and function
- > Degree to which the system is capable of self-organization
- > Ability to build and increase the capacity for learning and adaptation

# Measuring Resilience – A Challenge

## Resilience

- > a normative concept
- > a scientific construct to be inferred; cannot be directly observed or measured (Obrist et al. 2010)

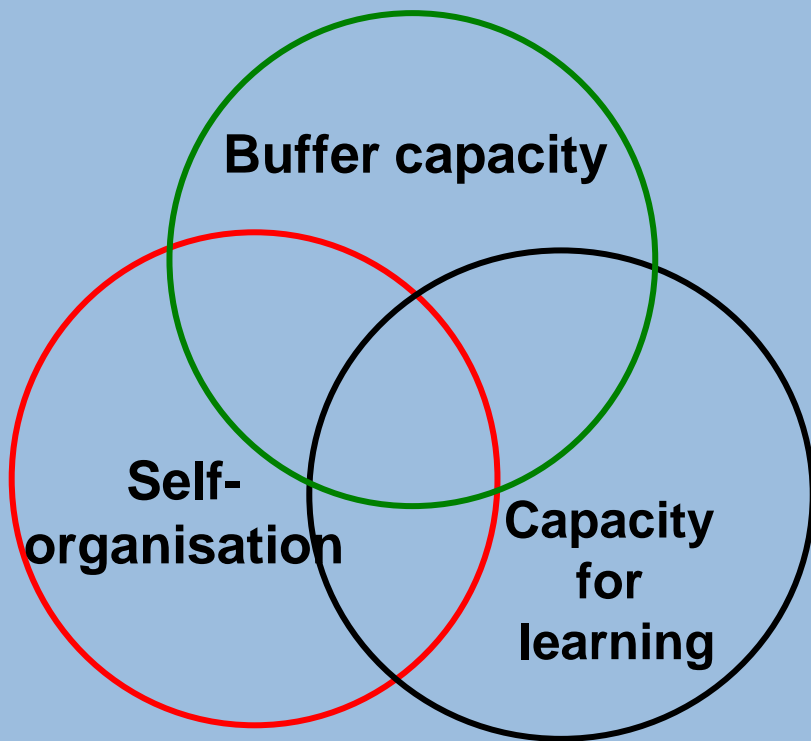
## Various measurement alternatives

- > Conceptual models (Resilience Alliance 2010)
- > Surrogates/indicators (Bennett et al. 2005; Carpenter et al. 2006)
- > Models (Peterson 2002; Fletcher et al. 2006)
- > Identifying “rules of the thumb” for complex & dynamic systems, e.g. agroecosystems (Darnhofer et al. 2010; Milestad & Darnhofer 2003); behaviour-based indicators (Cabell & Oelofse 2012; Ifejika Speranza 2012a/b)



# Applying to Social Resilience

## - Three general features



- **Buffer capacity** - capacity to cushion change, to maintain or increase assets, to use opportunities to achieve better livelihood outcomes such as reducing poverty - **the ability to cope and adjust.**
- **Self-organisation** – the degree to which people can direct their own actions and outcomes.
- **Capacity for learning** – experimenting, innovating

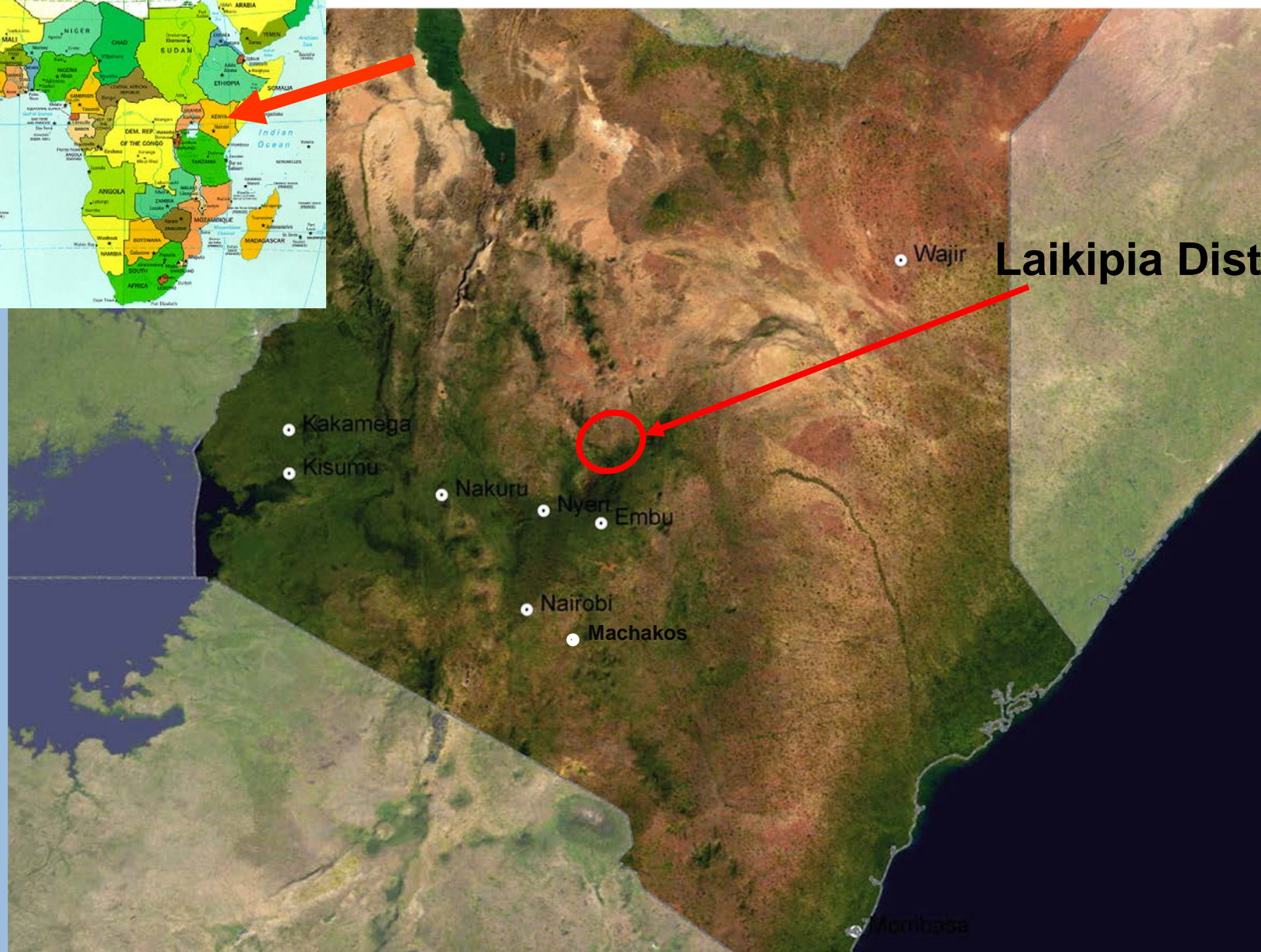
Ifejika Speranza 2010

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**Laikipia District**

# Resilience is about maintaining or enhancing farmer livelihood functions

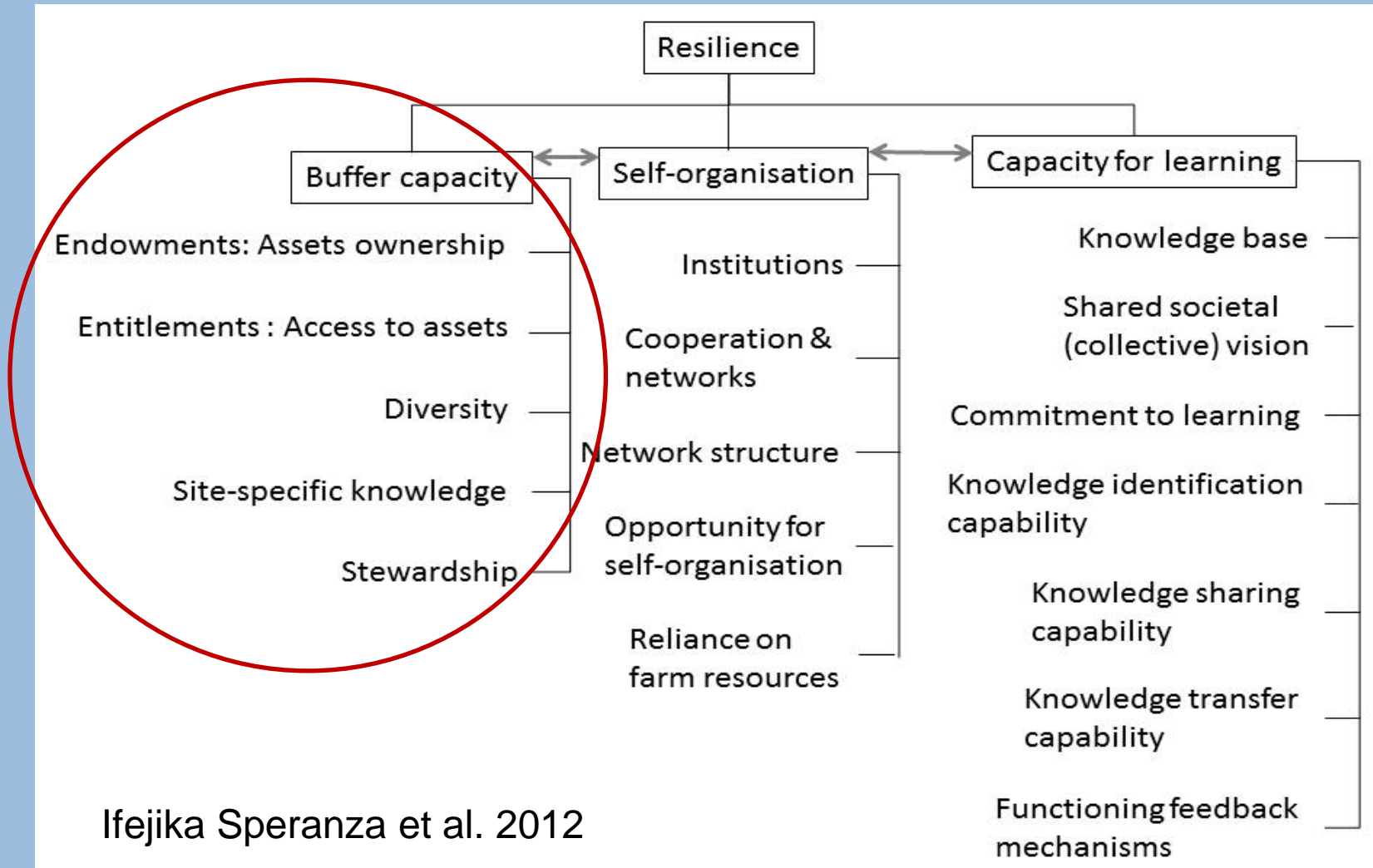
- > **Livelihood function:** the benefits that livelihoods provide (consumption, income, insurance and poverty reduction) (Chambers and Conway 1992; Dorwald et al. 2001)
- > **Landscape function:** the goods and services that landscapes provide (food, fibre, biomass, water, soil erosion control, carbon sequestration, etc.) (Mannsfeld 1979)  
→ **ecosystem services** (Millennium Ecosystem Assessment 2005)
- > **How to maintain functions despite climate variability & - change?**





# Farmer Livelihood Resilience

## - Indicators



# Contributions to Resilience: - Conservation Agriculture (CA)

- > How do farmer CA practices contribute to buffer capacity?
- > How do CA practices allow farmers to continue crop production despite droughts?
- > What better livelihood outcomes have been achieved through CA in economic, social and ecological dimensions?

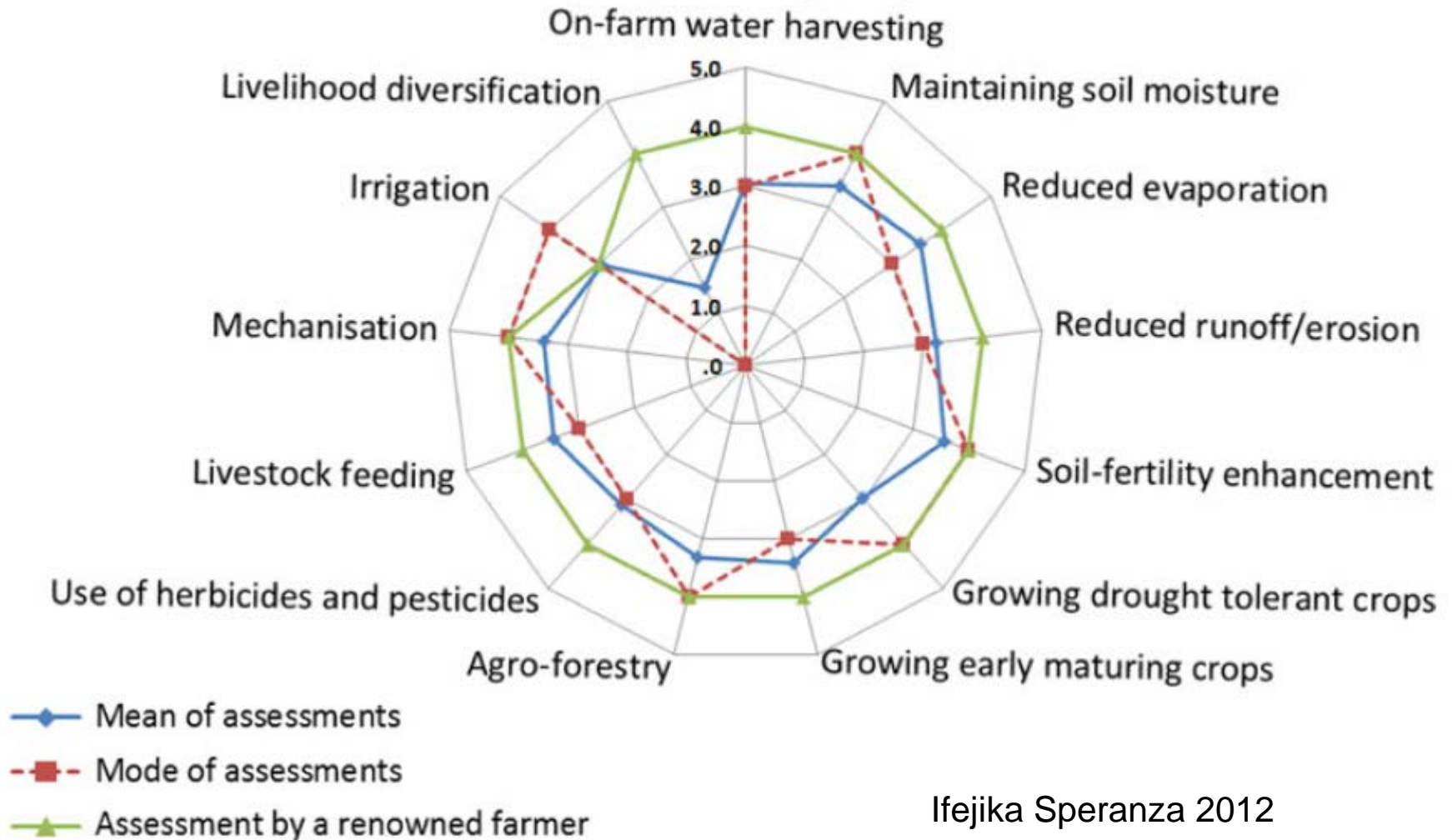
Ifejika Speranza 2012



# Conservation Agriculture Practices - Contributions to economic buffer capacity

N=41

## Contributions to economic buffer capacity



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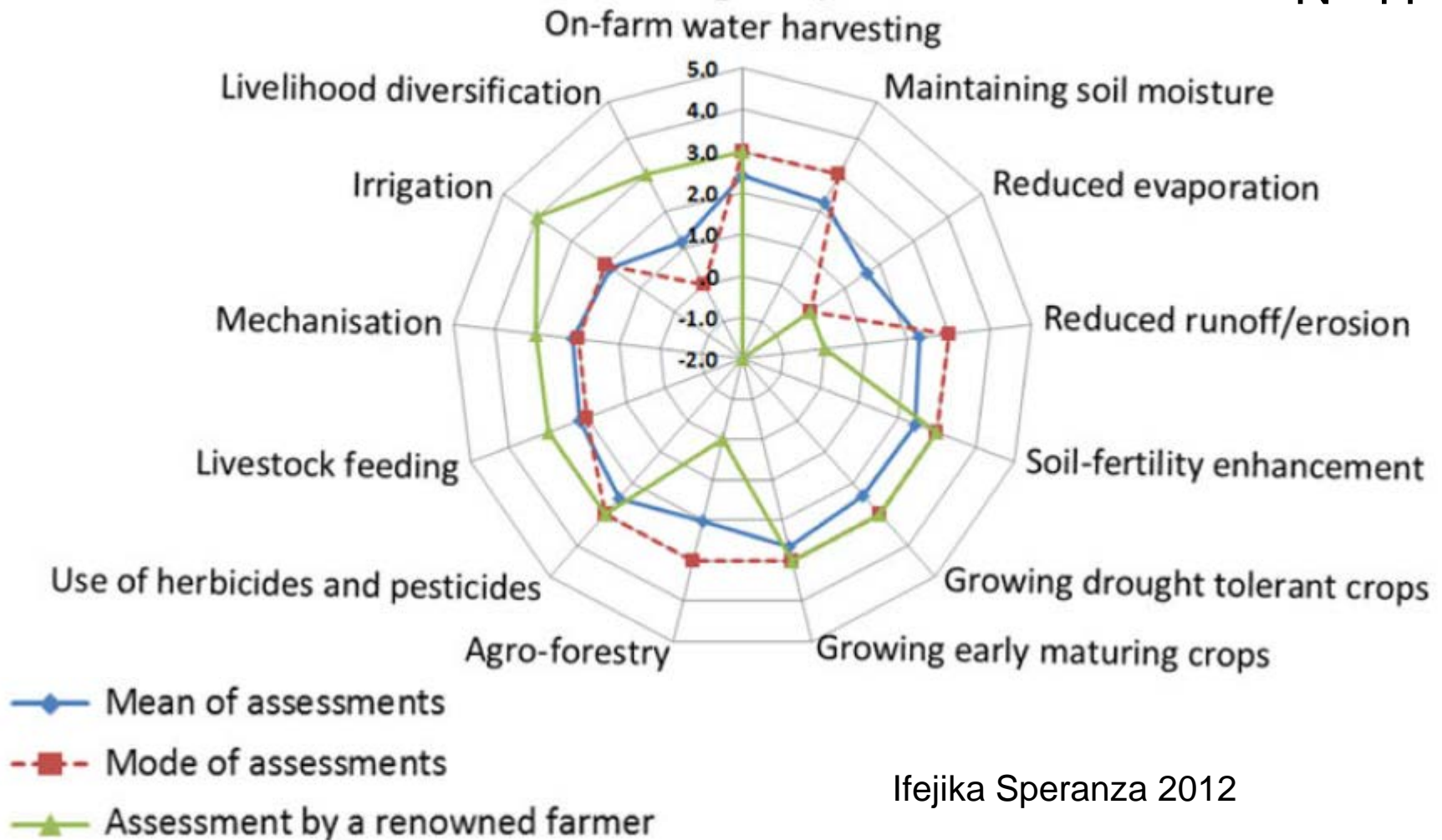


# Conservation Agriculture Practices

## - Contributions to social buffer capacity

### Contributions to social buffer capacity

N=41



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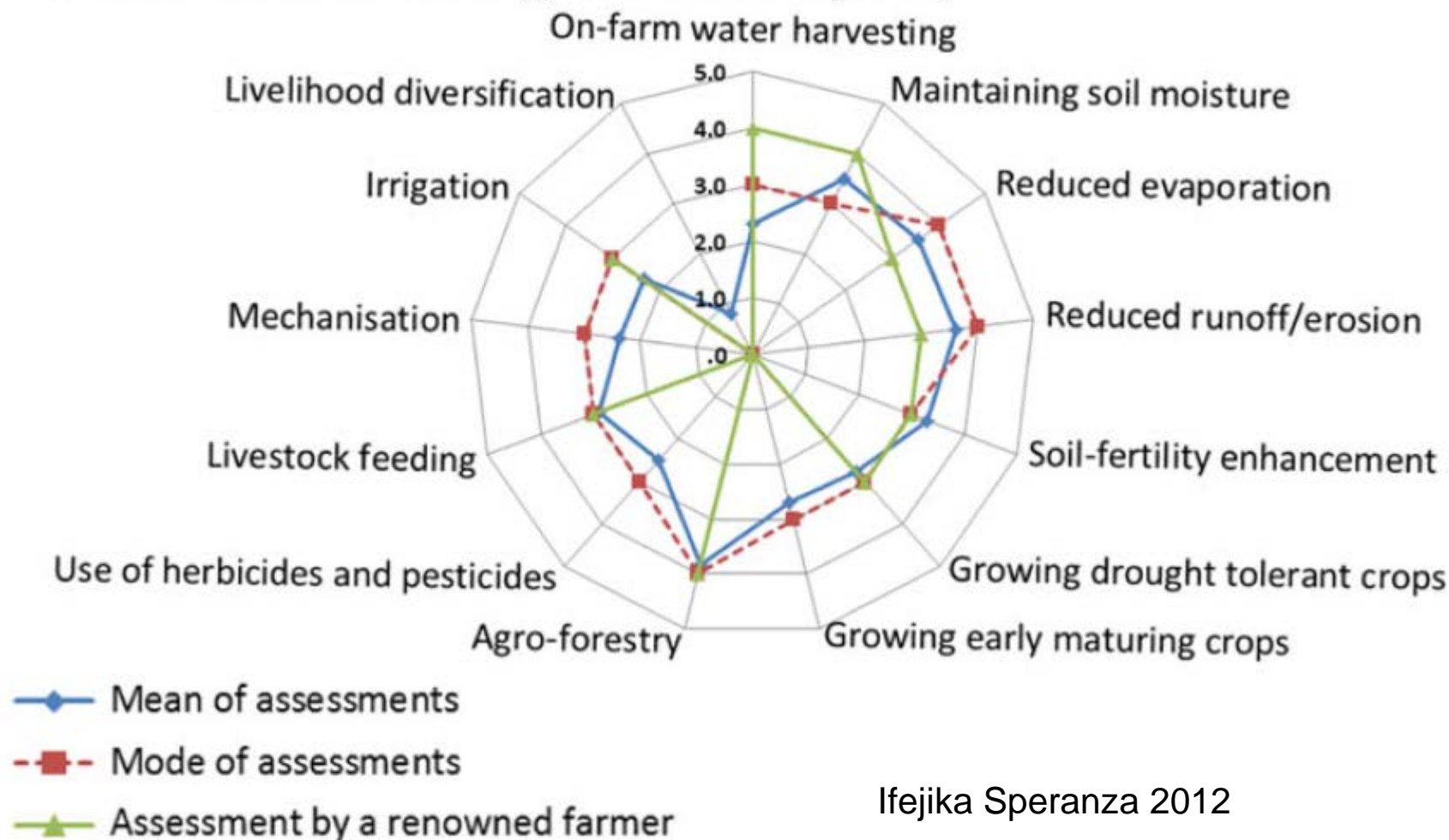


# Conservation Agriculture Practices

## - Contributions to ecological buffer capacity

N=41

### Contributions to ecological buffer capacity



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# Resilience Principle for Implementing Policies

- > In what ways and how much do agriculture related policies and actual government practices support (enable or constrain) land users' in adopting practices that enhance resilience to climate change?



# Policies, Climate Change & Resilience

## > **Policy objectives**

Most policies (e.g. Kenya; Nigeria) propose measures to address climatic risks and reduce vulnerability

## > **Policy implementation – governance failures**

- drought triggered food crisis (e.g. Kenya)

## > Resilience not yet explicitly addressed in policies

## > **Challenge** – to implement policies in ways that build resilience



# Policy Practice - e.g. Public Agric. Extension Services (PAES) & Resilience

## Mainly on Learning

- > Awareness creating, trainings & advice
- > Pilot conservation efforts - afforestation and agro-forestry
- > Motivating farmers' to adapt
- > Introducing new farming techniques/new technologies

# Policy Practice

## E.g. public agric. extension services (PAES)

### **CC undermines PAES ability to provide services**

- > Generally PAES top-down – limits field officers' flexibility
- > Frequent droughts & crop failures - discourage & impoverish farmers
- > Migration of men - changing extension clientele - women
- > PAES work plans cannot be implemented due to changes in seasons
- > Timely and relevant training more difficult
- > Climatic risks question relevance and validity of extension advise
- > **Need to adjust extension services to the dynamic (climatic) conditions**

# Factors Influencing the Contributions of PAES to Farm Resilience

- > Highly hierarchical system but with high horizontal interactions
- > High donor dominance / dependency / agenda setting?
- > Inventive / adaptable field extension agents
- > Policy encompasses adaptive principles but resources limit implementation

## Need to

- > increase use of complementary tools, e.g. media
- > Engage local extension agents
- > Address the question of what PAES is desirable?  
PAES vision under a changing climate?

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# Conclusions and Outlook

- > Land-users already implement practices that build resilience
- > Applying the resilience principle – highlights limits to farmers' adaptive capacity & potential entry points to improve farm resilience
- > Crucial to address multi-level perspectives and trade-offs
- > Agricultural policy objectives generally support practices that build/enhance resilience
- > Additional to governance challenges, climate change undermines policy practice (e.g. extension services) – needs to be addressed to ensure that policy practice supports farmers in building resilient livelihoods and agricultural landscapes.



**Thank you for your attention!**

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# Extra Slides



# Dynamics in Livelihood Resilience

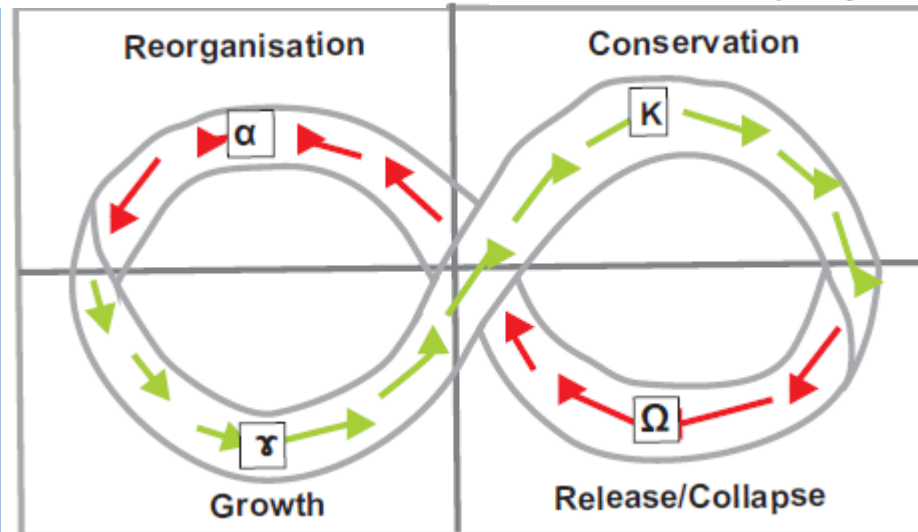
The adaptive cycle (Gunderson and Holling, 2002)

## Reorganisation phase ( $\alpha$ ) indicators, e.g.:

- Policy reform and institutional framework
- Re-stocking of livestock and re-planting
- Dominance of government support programmes

## Conservation (K) phase indicators, e.g.:

- Stagnation/loss in production, productivity and incomes
- Intensification, less flexibility and diversification and more specialisation
- Increased frequency of exposure to stresses and shocks
- Less favourable policy and institutional framework



**E.g.  
Recurrent  
droughts**

## Growth phase ( $\gamma$ ) indicators, e.g.:

- Increasing production, increasing income, expansion of crop lands; exploitation of natural resources
- Positive framing conditions due to policy, institutions and socio-economic processes
- Shocks and seasonality do not lead to significant production decline.

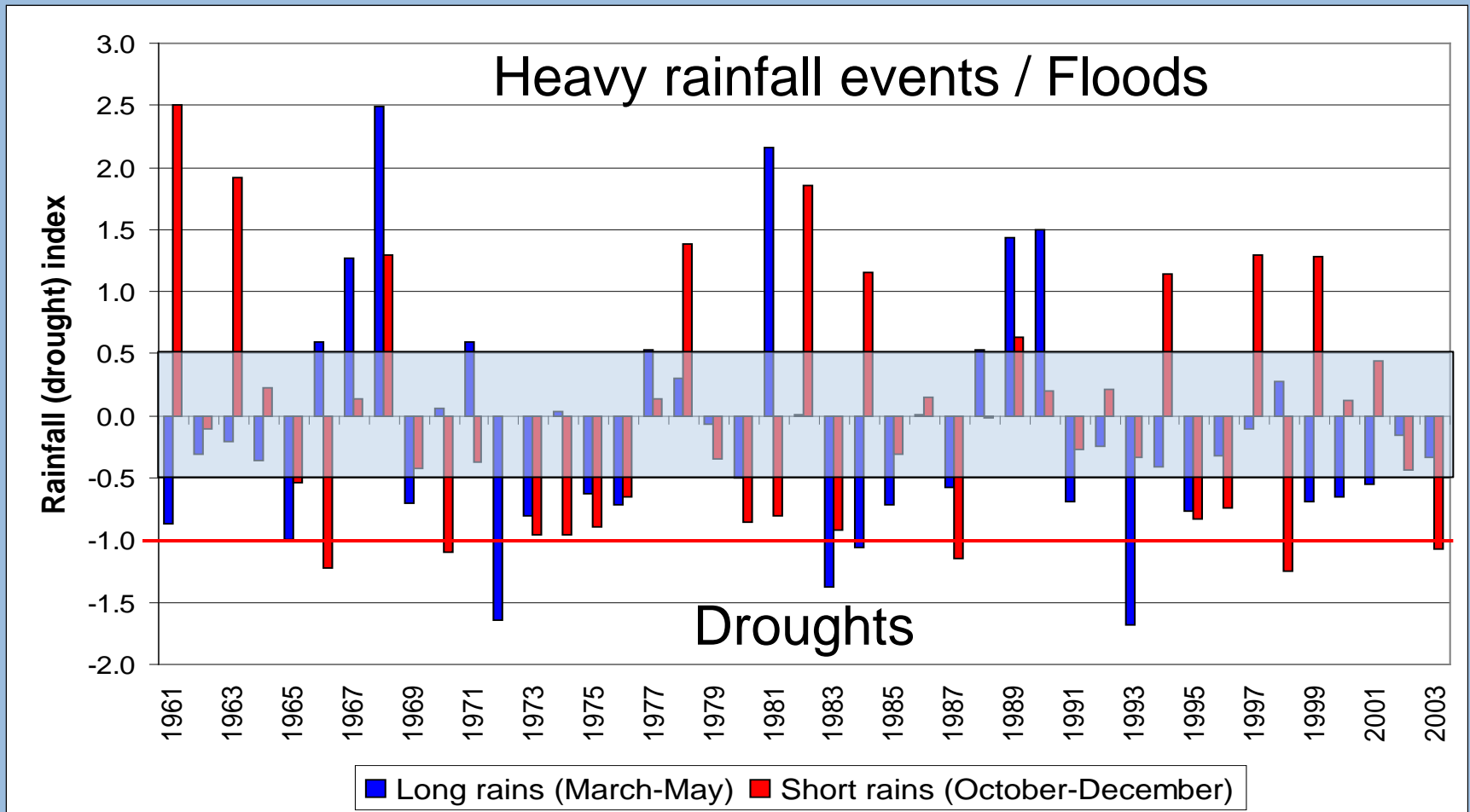
## Collapse phase ( $\Omega$ ) indicators, e.g.:

- Declining production, productivity and incomes
- Non favourable policy and institutional framework
- Increased frequency and intensity of stresses and shocks
- Complete production and income loss
- High proportion dependent on external support



# Frequent Drought Occurrences (Makindu 1961 – 2003; 43 years)

## Droughts at seasonal scales (Ifejika Speranza 2006)



# Applying Resilience to Farmers and Agricultural Landscapes

- > **A farmer livelihood is resilient** if it can maintain its key functions, absorb the impacts of disturbances without causing major declines in production and well-being.
- > **A landscape is resilient** if it can continue to provide key ecosystem services and avoid disruptive dynamics when subject to natural variability, extreme events and climatic change processes (adapted from Moench 2005).

# Managing agricultural landscapes for resilience

- > What is the desired state of the landscape?
- > Capacity to provide ecosystem services?
- > Capacity to tolerate drought?
- > What factor constellations are likely to make the landscape persist in or transform to a desired state despite shocks and surprises?
- > From a landscape perspective – where are areas of low resilience?

# Agricultural Landscapes

## - Criteria & Indicators

How much are the following attributes present in a landscape?

- > Conditions of resources (water/soil/biomass)
- > Biological memory
- > Modularity
- > Disturbance experience
- > Connectedness
- > Diversity (functional & response )
- > Heterogeneity (spatial & temporal)
- > Provisioning services (food, fuel, fibre production)
- > Regulating services (water-, disease- and air quality regulation)
- > Supporting services (soil formation, nutrient cycling)
- > Cultural services (recreation and cultural history)





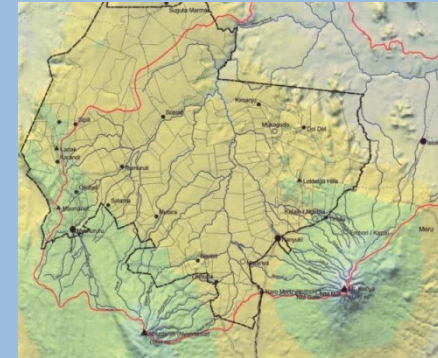
# Agricultural Landscapes & Resilience

- > Identify the desired state(s) of an agricultural landscape in the context of climatic risks
- > Generic identification of biotic and spatial indicators of resilience in agricultural landscapes
- > Assess landscape – presence of indicators contributing to resilience suggest a resilient agricultural landscape
- > Further evaluation (expert/farmer assessment; field measurements/index) – in what ways and to what extent do Land users' practices contribute to resilience?



# Livelihood- and Landscape resilience Data Collection and Analysis Methods

## Household surveys; interviews, focus group discussions



## Biomass index

$$\text{NDVI} = (\text{NIR} - \text{VIS}) / (\text{NIR} + \text{VIS})$$

## The Directional Leakiness Index (DLI)

DLI = 1 - resource retention

$$= 1 - \left( \frac{L_{\max} - L_{\text{obs}}}{L_{\max} - L_{\min}} \right)^k$$

**Revised Universal Soil  
Loss Equation (RUSLE):  
A = LS R K C P**

# Buffer capacity

## The capacity to cushion change

- > Depends on what farmers have – social, financial, human «capitals» etc. (Sen 1976-1987, Bourdieu 1983, Chambers 1989, Putnam 1993,1995)
- > what they can do\*
- > what they actually do - actions & reactions  
(\*Sen 1976-1999, Bourdieu 1977,1983, Chambers1989, Bourdieu & Wacquant 1992, Giddens 1984,1997, Wiesmann et al 2011)



**Agency & an actor-oriented perspective is important.**



# Farmer Livelihoods and Resilience

- > Identify the desired state(s) of farmer livelihoods in the context of climatic risks
- > Generic identification of practices contributing to resilience
- > Capture farmers' practices – presence of practices contributing to resilience suggest a resilient agriculture-based livelihood
- > Further evaluation (expert/farmer assessment; field measurements/index) – in what ways and to what extent do farmers' practices contribute to resilience?



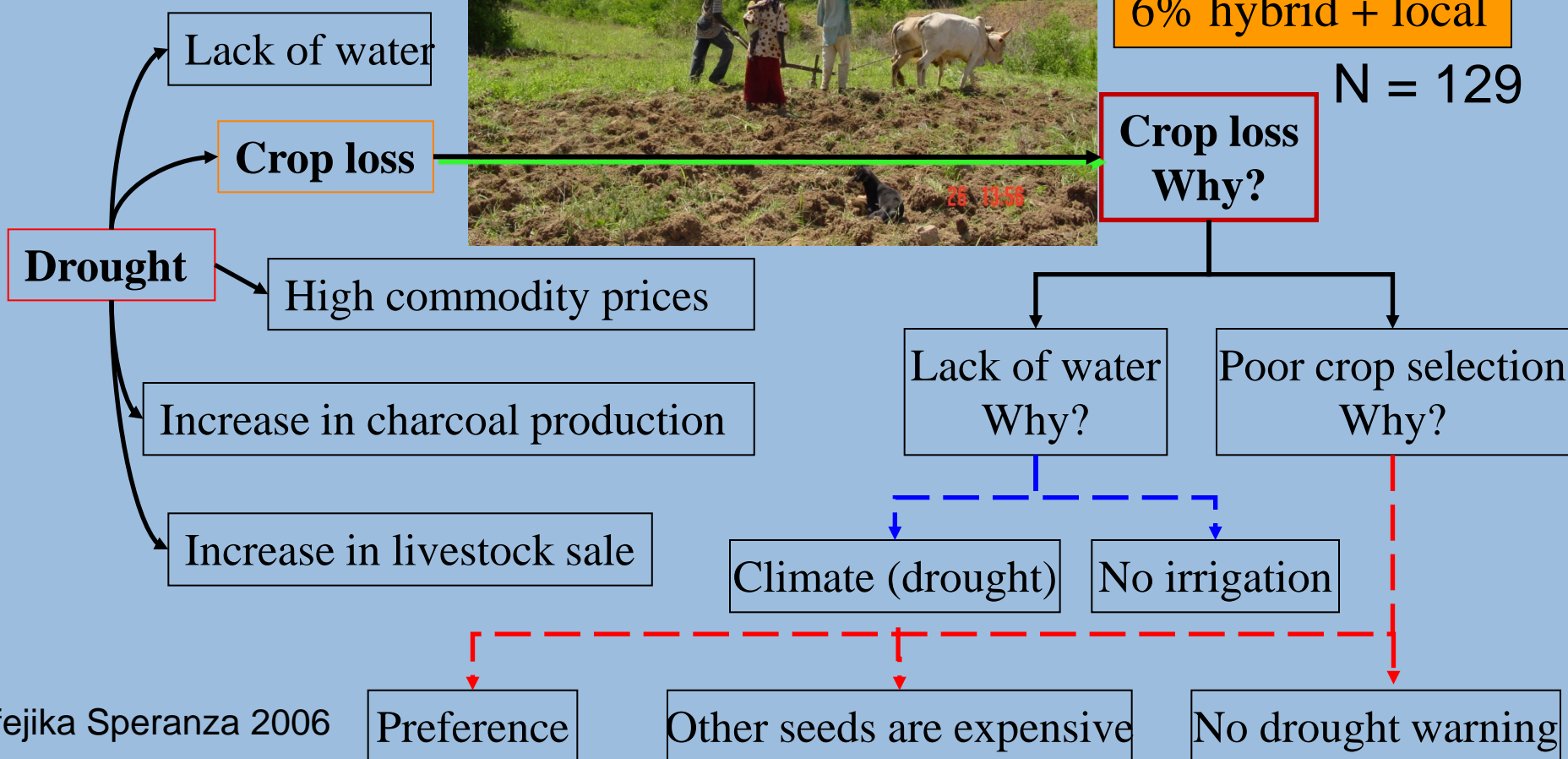


# Land-users' Capacity to Act and Land-users' Strategies



88% local maize  
6% hybrid  
6% hybrid + local

N = 129



Ifejika Speranza 2006